

Receipt  
# 172

**SCULLY, SCOTT, MURPHY & PRESSER**  
400 GARDEN CITY PLAZA SUITE 300  
GARDEN CITY, NEW YORK 11530

Telephone: (516) 742-4343  
Facsimile: (516) 742-4366  
E-Mail: [intprop@ssmp.com](mailto:intprop@ssmp.com)

FACSIMILE TRANSMISSION

To: U. S. Patent and Trademark Office    Attention: Filing Receipt  
Date: September 27, 2005  
Fax # 703-746-9195                      Pages 8  
From: SCULLY, SCOTT, MURPHY & PRESSER

Re: Kazuhiko Inoue, et al.  
U.S. Patent Appln. No. 10/518,859  
BIODEGRADABLE RESIN, BIODEGRADABLE RESIN  
COMPOSITION, BIODEGRADABLE MOLDED BODY,  
METHOD OF PRODUCING BIODEGRADABLE RESIN  
Docket: 18493

COMMENTS:

The Filing Receipt for the above-identified Patent Application is missing the Assignment for Published Patent Application. Also Customer #23389 is for Correspondence Address only. It should read:

**ASSIGNMENT FOR PUBLISHED PATENT APPLICATION:  
NEC CORPORATION OF TOKYO, JAPAN**

**POWER OF ATTORNEY: FRANK S. DIGILIO, REG. #31,346, PAUL J.  
ESATTO JR., REG. #30,749 MARK J. COHEN, REG. #32,211**

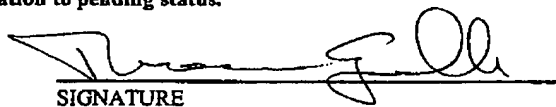
Please send to us a corrected Filing Receipt with the information as it is shown on the pages to follow.

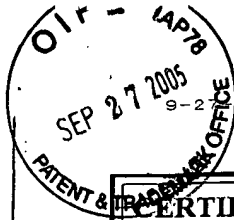
Thank you.

If there are any problems concerning this facsimile, please call (516) 742-4343 and ask for Wanda Capers, Ext. 534.

**CONFIDENTIALITY:** The documents accompanying this facsimile transmission may contain information which is either confidential or legally privileged and is intended only for the authorized use of the individual or entity named above without right of publication or republication, dissemination or disclosure except as expressly set forth or established by course of dealing. All rights are reserved. If you are not the intended recipient, you are hereby notified that any disclosure, copying, distribution or use of the contents of this facsimile is prohibited. If you received this transmission in error, please notify us immediately by telephone to arrange for return of the documents.

FORM PTO-1390 (Modified) (REV. 07-2004)		U.S. PATENT AND TRADEMARK OFFICE, U.S. DEPARTMENT OF COMMERCE		ATTORNEY'S DOCKET NUMBER <b>18493</b>	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5)	
INTERNATIONAL APPLICATION NO. <b>PCT/JP03/07594</b>		INTERNATIONAL FILING DATE <b>16 June 2003 (16.06.2003)</b>		PRIORITY DATE CLAIMED <b>17 June 2002 (17.06.2002)</b>	
TITLE OF INVENTION <b>BIODEGRADABLE RESIN, BIODEGRADABLE RESIN COMPOSITION, BIODEGRADABLE MOLDED BODY, METHOD OF PRODUCING BIODEGRADABLE RESIN</b>					
APPLICANT(S) FOR DO/EO/US <b>KAZUHIKO INOUE, MIDORI YAMASHIRO, MASATOSHI IJI</b>					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input checked="" type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol>					
Items 13 to 23 below concern document(s) or information included:					
<ol style="list-style-type: none"> <li>13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).</li> <li>22. <input checked="" type="checkbox"/> Express Mail Label No. <b>EV-492-665-760-US</b></li> <li>23. <input checked="" type="checkbox"/> Other items or information:  <div style="border: 1px solid black; border-radius: 15px; padding: 5px; display: inline-block;">Assignee: NEC Corporation of Tokyo, Japan</div> </li> </ol>					

U.S. APPLICATION NO (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO. <b>PCT/JP03/07594</b>		ATTORNEY'S DOCKET NUMBER <b>18493</b>	
24. The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :</b>				<b>CALCULATIONS PTO USE ONLY</b>	
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....				\$1110.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....				\$950.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....				\$790.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....				\$750.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....				\$100.00	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$1,000.00</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than _____ months from the earliest claimed priority date (37 CFR 1.492(e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				<b>\$0.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	88 - 20 =	68	x \$50.00	<b>\$3,400.00</b>	
Independent claims	5 - 3 =	2	x \$200.00	<b>\$400.00</b>	
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$4,800.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$4,800.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than _____ months from the earliest claimed priority date (37 CFR 1.492(f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$4,800.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$4,800.00</b>	
				Amount to be: refunded	\$
				charged	\$
a. <input checked="" type="checkbox"/> A check in the amount of <u>\$4,800.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-1013 SSMP</u> d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO: <u>Paul J. Esatto, Jr.</u> <u>[19] Correspondence Address</u>  Customer Number 23389					
 SIGNATURE  Thomas Spinelli NAME  39,533 REGISTRATION NUMBER  December 17, 2004 DATE					



9-27-05; 11:46AM; SSMP

: 5167424366

# 4 / 8

<b>CERTIFICATE OF MAILING</b> / "EXPRESS MAIL" (37 CFR 1.10), Applicant(s): <b>KAZUHIKO INOUE, et al.</b>	Docket No. <b>18493</b>
--	----------------------------

Application No. <b>unassigned</b>	Filing Date <b>herewith</b>	Examiner <b>unassigned</b>	Customer No. <b>23389</b>	Group Art Unit <b>unassigned</b>
--------------------------------------	--------------------------------	-------------------------------	------------------------------	-------------------------------------

Invention: **BIODEGRADABLE RESIN, BIODEGRADABLE RESIN COMPOSITION, BIODEGRADABLE MOLDED BODY, METHOD OF PRODUCING BIODEGRADABLE RESIN**

I hereby certify that the following correspondence:

**NEW U.S. APPLICATION UNDER 35 U.S.C. 371**

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

**December 17, 2004**

*(Date)*

**Thomas Spinelli**

*(Typed or Printed Name of Person Mailing Correspondence)*

*(Signature of Person Mailing Correspondence)*

**EV-492-665-760-US**

*("Express Mail" Mailing Label Number)*

**Note: Each paper must have its own certificate of mailing.**

PD6A/REV03

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (list name and registration number)

Stephen D. Murphy, Reg. No.: 22,002

Paul J. Esatto, Reg. No.: 30,749

William C. Roch, Reg. No.: 24,972

Mark J. Cohen, Reg. No.: 32,211

Frank S. DiGiglio, Reg. No.: 31,346

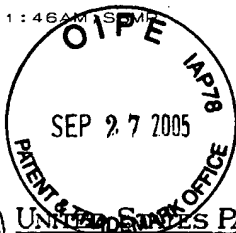
Donald T. Black, Reg. No.: 27,999

Send Correspondence to: Paul J. Esatto, Jr.  
Scully, Scott, Murphy & Presser  
400 Garden City Plaza  
Garden City, New York 11530

Direct Telephone Calls to: (name and telephone number)  
Paul J. Esatto, Jr. (516) 742-4343

Full name of sole or first inventor	
Kazuhiko INOUE	
Sole or first inventor's signature	Date
<i>Kazuhiko Inoue</i> (Seal)	November 30, 2004
Residence	
Tokyo, Japan	
Citizenship	
Japanese	
Post Office Address	
c/o NEC Corporation, 7-1, Shiba 5-chome, Minato-ku, Tokyo 108-8001	
Japan	

Full name of second inventor, if any	
Midori YAMASHIRO	
Second inventor's signature	Date
<i>Midori Yamashiro</i> (Seal)	November 30, 2004
Residence	
Tokyo, Japan	
Citizenship	
Japanese	
Post Office Address	
c/o NEC Corporation, 7-1, Shiba 5-chome, Minato-ku, Tokyo 108-8001	
Japan	



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/518,859	12/17/2004	1711	4900	18493		88	6

CONFIRMATION NO. 5819

23389  
SCULLY SCOTT MURPHY & PRESSER, PC  
400 GARDEN CITY PLAZA  
SUITE 300  
GARDEN CITY, NY 11530

## FILING RECEIPT

\*OC000000016969197\*

Date Mailed: 09/13/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Kazuhiko Inoue, Tokyo, JAPAN;  
Midori Yamashiro, Tokyo, JAPAN;  
Masatoshi Iji, Tokyo, JAPAN;

Should read: NEC Corporation of Tokyo, Japan

Power of Attorney: The patent practitioners associated with Customer Number 23389.

Frank S. DiGiglio, Reg. No. 31,346, Paul J. Ksaft, Jr., Reg. # 30,749  
Domestic Priority data as claimed by applicant  
This application is a 371 of PCT/JP03/07594 06/16/2003  
Mark J. Cohen, Reg. # 32,211

## Foreign Applications

JAPAN 2002-175646 06/17/2002

Projected Publication Date: 12/15/2005

Non-Publication Request: No

Early Publication Request: No

## Title

Biodegradable resin, biodegradable resin composition, biodegradable molded object, and process

for producing biodegradable resin

**Preliminary Class**

521

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

---

**LICENSE FOR FOREIGN FILING UNDER**

**Title 35, United States Code, Section 184**

**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

Page 3 of 3

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).